

From: Jones-Parra, Lisa on behalf of Fine, Steven
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Subject: Instructions for Capstone Officials
Date: Wednesday, March 21, 2018 12:38:00 PM

Colleagues,

As explained in the mass mailer appended below, the agency is anticipating implementing Capstone, a new approach for managing records in email, this summer. Your position has been designated as a Capstone Official position under the new records management approach. As the mass mailer below describes, once Capstone starts your burden for managing email records will decrease. As a Capstone Official, your email records will be saved as permanent records and transferred to the National Archives and Records Administration (NARA) when they become 15 years old.

I appreciate the effort many of you took to prepare your Lotus Notes email for migration into Outlook and eventual Capstone implementation. It is now time to focus attention on preparing Outlook for Capstone. The appended email has instructions under "How should I prepare for Capstone?"

A key part of your preparation will be deleting personal mail, junk mail, and transitory records. Any email older than 90 days that has not been deleted by the time Capstone starts will be held permanently. You will not be able to delete that email later.

As you follow the instructions, it is critical to note that if you have ever been in a non-Capstone Official position, the rules for non-Capstone employees apply for your email records during the time period you were in a non-Capstone Official role. Specifically, if you have any email records received or sent during a time that you were a non-Capstone Official that also have a retention period longer than 10 years, those emails must be saved into the Enterprise Content Management System (ECMS), if you have not done so previously. You must perform this function before Capstone implementation begins. The list of Capstone Official positions is [here](#) to help you determine if you have served in other Capstone Official positions, if applicable. The list of records schedules that exceed 10 years is [here](#). Instructions to save Outlook email records in ECMS are [here](#).

As a reminder, until Capstone begins, you should continue handling email you are sending and receiving in Outlook per current records management policies and procedures.

If you feel you have received this email in error after reviewing the Capstone Official positions list linked above, please contact [Robert Johnston](#) at 202-566-1637 or [John Ellis](#) at 202-566-1643, so that we can confirm your status as Capstone Official.

I appreciate your support in helping prepare the agency for a successful Capstone implementation. Links to additional information and contacts are in the mass mailer below.

Steve Fine

From: MassMailer
Sent: Wednesday, February 28, 2018 12:37 PM
To: MassMailer <massmailer@epa.gov>
Subject: Update: Capstone Implementation Announcement



Message from: Steve Fine, Deputy Chief Information Officer

Dear Colleagues,

I am pleased to announce that the agency has been working hard toward implementation of Capstone – the new email records management approach. We currently anticipate implementing Capstone in **June 2018**. As mentioned in previous [communications](#), Capstone uses a role-based approach that retains employees' emails for a specific period of time based on the employees' position. For actions to help prepare for Capstone, please see the "[How should I prepare for Capstone?](#)" section below.

Capstone will diminish the burden of managing email records while facilitating records management throughout EPA. The National Archives and Records Administration (NARA) approved EPA's Capstone application, and the agency is implementing Capstone consistent with NARA's [recommendations](#). Under the Capstone approach, roles are broken down into two categories: Capstone Officials and non-Capstone employees. The list of [EPA's Capstone Officials](#) comprises 108 designated senior official positions. EPA will update this list annually and send revisions to NARA.

Agency employees will have 90 days from the date an email is created or received to delete any junk mail or personal email. [Transitory records](#) should also be deleted within 90 days if no longer needed (this process is known as "culling"). After the 90-day culling period, Capstone Officials' emails are saved as permanent records and are transferred to NARA when they become 15 years old. Emails of non-Capstone employees will be kept for 10 years and then deleted (unless subject to a litigation hold or other preservation obligation).

If, according to EPA's records schedules, an email record of a non-Capstone employee must be retained longer than 10 years, the email is considered to be an exception, and the employee must save that email in the Enterprise Content Management System (ECMS) using the [EZ Email Records Tool](#). [Since employees will only need to use the EZ Email Records tool for those records that must be retained more than 10 years, they will spend significantly less time managing email records.](#)

[The retention schedule for Superfund related records is longer than 10 years. At a later time, employees with Superfund related emails will receive guidance to move those records into the Superfund Enterprise Management System \(SEMS\). We are in the process of developing a technical solution to move records between Outlook and SEMS. In the meantime, these emails will be retained in Outlook. The Office of Land and Emergency Management \(OLEM\) will provide additional](#)

[guidance related to preparing Superfund related email records in Outlook sometime during summer 2018.](#)

As a reminder, until Capstone begins, employees should continue handling email they are sending and receiving in Outlook per current records management policies and procedures. Here are additional steps employees can take to prepare for the transition.

How should I prepare for Capstone?

We appreciate the effort you took to prepare your Lotus Notes email for migration to Outlook and eventual Capstone implementation. It is now time to focus attention to preparing your Outlook mailbox. Below are some actions you need to take before implementation.

- **For non-Capstone employees, email records with a retention longer than 10 years:** Non-Capstone employees must save emails that are subject to a retention schedule that exceeds 10 years in ECMS (does not apply to Superfund-related emails as explained above). The links at the end of this email provide additional information.
- **Emails subject to litigation hold:** You must continue to retain emails that are subject to a litigation hold or other preservation obligation in your email box. You should not delete any emails subject to litigation holds or other obligations, regardless of their record status.
You should have received an email notice from the issuing attorney notifying you of the existence and scope of any litigation holds. EPA will continue to retain emails from individuals identified as subject to litigation holds after the Capstone retention date.
Litigation holds are legal obligations. If you have any questions about your litigation hold obligations, contact the EPA case attorney who issued the litigation hold. If you have technical questions, please contact eDiscovery@epa.gov for technical support.
- **Emails subject to an official information request (such as a pending or recently closed FOIA request or appeal):** If you have emails concerning or responsive to a pending FOIA request, a recently closed FOIA request (within 90 days), or a FOIA appeal, you must continue to retain those emails. If you have questions related to FOIA records, please contact the EPA employee or program office that is coordinating the FOIA response.
- **Emails not subject to any preservation obligation:** You should delete emails that are not subject to any preservation obligations such as mass mailers, news articles, PAVE announcements, or other emails that are not records.
- **Personal emails:** You should delete personal messages that are not relevant to EPA's work.

For more information, see:

- [Information on what constitutes a record.](#)
- [A retention matrix listing the records schedules that exceed 10 years.](#)
- [How to save Outlook email records in ECMS.](#)
- [FAQs on email and records.](#)
- List of [EPA's Capstone Officials.](#)
- [FAQ on Capstone Email and Records.](#)

We will keep you informed as we prepare for Capstone implementation. If you have any questions, please contact the following subject matter experts:

- [Robert Johnston](#), Director, Enterprise Records Management Division, 202-566-1637
- [John Ellis](#), EPA Records Officer, 202-566-1643
- [Records Help Desk](#), 202-566-1494
- [Jennifer Sutton, OLEM \(for questions regarding Superfund-related records\), 703-603-8718](#)

Thank you,
Steve